

FORM PTO-1449 (Modified)

LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S) INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.
ICOR-004SERIAL NO.
Not Yet AssignedAPPLICANT
TARI et al.FILING DATE
December 11, 2001GROUP ART UNIT
Not Yet AssignedU.S. PRO
11017 10/01/01

12/11/01

U.S. PATENT DOCUMENTS

| EXAM'R INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|----------------|-----|-----------------|----------|----------------------|-------|----------|----------------------------|
| JG | A1 | 3,573,747 | 4/6/71 | Adams, et al. | | | |
| | A2 | 4,674,044 | 6/16/87 | Kalmus, et al. | | | |
| | A3 | 4,942,616 | 7/17/90 | Linstroth, et al. | | | |
| | A4 | 4,980,826 | 12/25/90 | Wagner | | | |
| | A5 | 5,038,284 | 8/6/91 | Kramer | | | |
| | A6 | 5,077,665 | 12/31/91 | Silverman, et al. | | | |
| | A7 | 5,101,353 | 3/31/92 | Lupien, et al. | | | |
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| | A16 | 5,905,974 | 5/18/99 | Fraser, et al. | | | |
| | A17 | 5,915,209 | 6/22/99 | Lawrence | | | |
| | A18 | 5,924,082 | 7/13/99 | Silverman, et al. | | | |

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| | REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
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| | | | | | | | YES | NO |
| JG | B1 | 0512702 A2 | 11/11/92 | Europe | | | | |
| | B2 | WO 99/19821 | 4/22/99 | WIPO | | | | |
| | B3 | 0411748 A2 | 2/6/91 | Europe | | | | |

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EXAMINER /Jocelyn Greimel/ DATE CONSIDERED 11/08/2006

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| EXAM'R INITIAL | REF | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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| | A20 | 5,963,923 | 10/5/99 | Garber | | | |
| | A21 | 5,987,419 | 11/16/99 | Hachino, et al. | | | |
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| | REF | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | Translation | |
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| | | | | | | | YES | NO |
| JG | B4 | 0399850 B1 | 12/13/95 | Europe | | | | |
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| | C2 | Wilson, John F., <i>On-Line International Cash Management</i> , Annual ACM Conference, 1983. |
| | C3 | Burman, Michael, <i>Aspects of a High-Volume Production Online Banking System</i> , IEEE Compcon, Spring of 1985. |
| | C4 | Sammer, Harald W., <i>Online Stock Trading Systems: Study of an Application</i> , IEEE Compcon, Spring of 1987. |
| | C5 | Clemons, E.K., et al., <i>Merrill Lynch Cash Management Account Financial Service: A Case Study in Strategic Information Systems</i> , 21 st Annual Hawaii International Conference on Systems Sciences, Vol. 4, 1988. |

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| FORM PTO-1449 (Modified) | ATTY. DOCKET NO. ICOR-004 | SERIAL NO. Not Yet Assigned |
| LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT | APPLICANT TARI et al. | |
| (Use several sheets if necessary) | FILING DATE December 11, 2001 | GROUP ART UNIT Not Yet Assigned |

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| JG | C6 | Finebaum, Murray L., <i>Information Systems in the Securities Industry</i> , 21 st Annual Hawaii International Conference on System Sciences, Vol. 4, 1988. |
| | C7 | Sager, M.T., <i>Competitive Alliances With Information Technology - The Australian Retail Banking Experience</i> , 22 nd Annual Hawaii International Conference on System Sciences, Vol. 4, 1989. |
| | C8 | Gutner, Tammi, <i>Fine If You're Big</i> , The Banker, October, 1988. |
| | C9 | Arend, Mark, <i>Swift Speeds Up As Broker/Dealers Join</i> , Wall Street Computer Review, January, 1989. |
| | C10 | Essinger, James, <i>ISE's 'SAEF' Debuts to Make the Market Sound</i> , Wall Street Computer Review, May, 1989. |
| | C11 | Freund, William C., <i>Electronic Trading and Linkages in International Equity Markets</i> , Financial Analysis Journal, May-June, 1989. |
| | C12 | Schmerken, Ivy, <i>High-Tech Banks Set to Challenge Wall Street</i> , Wall Street Computer Review, July, 1989. |
| | C13 | Arend, Mark, <i>Banks Lure Investors With High-Tech Convenience</i> , Wall Street Computer Review, December, 1989. |
| | C14 | Arend, Mark, <i>Where Wall Street's Tending In Trading Systems Design</i> , Wall Street Computer, June, 1990. |
| | C15 | Brennan, P.J., <i>OTC Trading Systems Lead In Race to Automate</i> , Wall Street Computer Review, November, 1990. |
| | C16 | Cody, B.J., <i>Reducing the Costs and Risks of Trading Foreign Exchange</i> , Wall Street Computer Review, November, 1990. |
| | C17 | Goodman, Ann, <i>The Monep: Mixing Men and Machines for Market Might</i> , Wall Street Computer Review, August, 1991. |
| | C18 | Heyman, D.P., <i>A Performance Model of the Credit Manager Algorithm</i> , Computer Networks and ISDN Systems, March, 1992. |
| | C19 | <i>Method For Collection of Accounting Data</i> , IBM Technical Disclosure Bulletin, 1986. |
| | C20 | <i>Banks Look to Build FX Order- Matching System Quotron Eyed as Vendor, Minex as Co-Sponsor?</i> , FX Week, May 17, 1991. |
| | C21 | <i>TST Interviews Evan Schulman</i> , Automated Trading Pioneer, Trading Systems Technology, July 15, 1991. |
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| EXAMINER | /Jocelyn Greimel/ | DATE CONSIDERED | 11/08/2006 |
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| <p>FORM PTO-1449 (Modified)</p> <p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT(S)' INFORMATION DISCLOSURE STATEMENT</p> <p>(Use several sheets if necessary)</p> | <p>ATTY. DOCKET NO. ICOR-004</p> | <p>SERIAL NO. Not Yet Assigned</p> |
| | <p>APPLICANT TARI et al.</p> | |
| | <p>FILING DATE December 11, 2001</p> | <p>GROUP ART UNIT Not Yet Assigned</p> |

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LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY. DOO.

ICOR-004

APPLICATION NO.

10/014,864

APPLICANT

TARI et al.

FILING DATE

December 11, 2000

GROUP

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| *EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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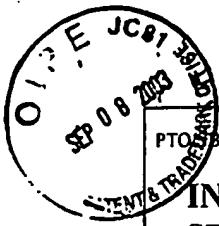
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OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

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PTO 898/08a/b (modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 1

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|----------------------|-------------------|
| App. No. | 10/014,864 |
| Filing Date | December 11, 2001 |
| First Named Inventor | Tari et al. |
| Art Unit | 2164 |
| Examiner Name | Not yet assigned |
| Attorney Docket No. | ICOR-004 |

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| Examiner Initials | Cite No. | Document No. | Publication Date | Name |
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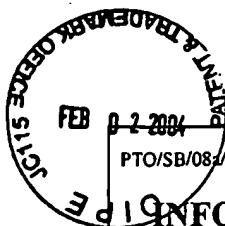
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| Examiner Signature | /Jocelyn Greimel/ | Date Considered | 11/08/2006 |
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425869-New York Server 3A - MSW



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PTO/SB/08/b (modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 1

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|----------------------|-------------------|
| App. No. | 10/014,864 |
| Filing Date | December 11, 2001 |
| First Named Inventor | Tari et al. |
| Art Unit | 2164 |
| Examiner Name | Not yet assigned |
| Attorney Docket No. | ICOR-004 |

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| Examiner Signature | /Jocelyn Greimel/ | Date Considered | 11/08/2006 |
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425869-New York Server 3A - MSW



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 1

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| App. No. | 10/014,864 |
| Filing Date | December 11, 2001 |
| First Named Inventor | Tari et al. |
| Art Unit | 2164 |
| Examiner Name | Not yet assigned |
| Attorney Docket No. | ICOR-004 |

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